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Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1

of 2

Complete if Known

Application Number	10/823.418
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Filing Date	April 12, 2004
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First Named Inventor	Vaughan
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Art Unit	3732
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Examiner Name	Unknown
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Attorney Docket Number	85689.19
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U. S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear
		Country Code ³ *Number ⁴ *Kind Code ⁵ (if known)			
RL	1	WO 03/028538 A2-A3	04/10/2003	Vaughan Med. Tech. Inc.	
RL	2	PCT/US2005/11742	04/04/2005	Vaughan Med. Tech. Inc.	

**Examiner
Signature**

Date
Considered

3	20	2000
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Sheet

2

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2

NON PATENT LITERATURE DOCUMENTS

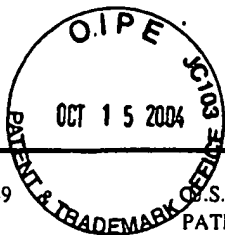
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
RL	3	VAUGHAN, Paul A., Vertebral Stabilization Assembly and Method, US Serial No. 11/146,075, 6/7/2005.	
RL	4	VAUGHAN, Paul A., Vertebral Stabilization Assembly and Method, US Serial No. 11/086,834, March 22, 2005.	
RL	5	VAUGHAN, Paul A., Vertebral Stabilization Assembly and Method with Rigid & Semi-Rigid Members, US Serial No. 11/185,793, July 21, 2005.	

Examiner Signature		Date Considered	3/20/2006
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1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. 85689.19	SERIAL NO. 10/823,418
LIST OF ART CITED BY APPLICANT (Use several sheets if necessary)		APPLICANT Paul A. Vaughan	
		FILING DATE April 12, 2004	GROUP 3732

U. S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	ISSUE DATE	NAME OF INVENTOR	CLASS	SUBCLASS	FILING DATE (if appropriate)
RL	4,611,581	Sep. 16, 1986	Arthur D. Steffee	128	69	Dec. 16, 1983
	4,648,388	Mar. 10, 1987	Arthur D. Steffee	128	69	Nov. 1, 1985
RL	4,655,199	Apr. 7, 1987	Arthur D. Steffee	128	69	Mar. 29, 1985
	4,719,905	Jan. 19, 1988	Arthur D. Steffee	128	69	Dec. 1, 1986
RL	4,771,767	Sep. 20, 1988	Arthur D. Steffee	128	69	Feb. 3, 1986

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY FILED IN OR PCT	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

OTHER ART

(Include name of author (in CAPITAL LETTERS), title of article, title of item (book, magazine, journal, serial, symposium, catalog, etc), date, page(s), volume issue number(s), publisher, city and/or country where published)

EXAMINER INITIAL	
EXAMINER SIGNATURE:	DATE CONSIDERED:
<i>RL</i>	3/20/2004

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EXAMINER INITIAL	DOCUMENT NUMBER	ISSUE DATE	NAME OF INVENTOR	CLASS	SUBCLASS	FILING DATE (if appropriate)
RL	6,187,005	Feb. 13, 2001	Michael Brace et al.	606	61	Sep. 9, 1999
	6,190,388	Feb. 20, 2001	Gary K. Michelson et al.	606	61	Jan. 19, 2000
	6,193,721	Feb. 27, 2001	Gary K. Michelson	606	70	Feb. 11, 1998
	6,228,085	May 8, 2001	Randall R. Theken et al.	606	61	Jul. 14, 1998
RL	6,235,034	May 22, 2001	Robert S. Bray	606	71	Oct. 23, 1998


FOREIGN PATENT DOCUMENTS

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						YES	NO

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EXAMINER INITIAL	
RL	<i>Spinal Fusion – Understanding Your Surgery</i> (pamphlet), 1999, 16 pgs., The StayWell Company, 1100 Grundy Ln. San Bruno, CA 94066-3033
	<i>The Post-Op Back Book- Taking Charge of Your Recovery from Surgery</i> (pamphlet), 2000, 16 pgs., The StayWell Company, 1100 Grundy Ln. San Bruno, CA 94066-3033.
	<i>Lumbar Epidural Injections – Diagnosis and Treatment to Help Reduce Pain</i> , (pamphlet), 1999, 8 pgs., The StayWell Company, 1100 Grundy Ln. San Bruno, CA 94066-3033.
	<i>Laminectomy and Laminotomy – Low Back Surgery to Reduce Your Pain</i> , (pamphlet), 1997, 16 pgs., Krames Communications, 1100 Grundy Ln., San Bruno, CA 94066-3030.
	<i>Lumbar Disk Surgery – Treating Low Back Pain and Sciatica</i> , (pamphlet), 2000, 8 pgs., The StayWell Company, 1100 Grundy Ln. San Bruno, CA 94066-3033.
	<i>Lumbar Microsurgery – Low-Back Surgery to Reduce Your Pain</i> , (pamphlet), 1998, 16 pgs., The StayWell Company, 1100 Grundy Ln. San Bruno, CA 94066-3033.
	<i>Structure of the Spine</i> , (article), undated, 2 pgs.
	GERALD E. RODTS, JR., M.D., <i>What Should I Know About Lumbar Fusion?</i> (article found at the Internet website www.spineuniverse.com/surgery/specialist/feature0130.html), , dated 03/28/2001, 3 pgs..
	CHARLES V. BURTON, M.D., <i>The Present Role of Titanium Cage Fusions In Spine Care</i> , (article found at the Internet website www.spineuniverse.com/surgery/procedures/cage2fusion.html), dated 03/28/2001, 3 pgs.
	MARK R. MCLAUGHLIN, M.D., <i>Image-Guided Spinal Surgery</i> , (article found at the Internet website www.spineuniverse.com/technology/ak_mclaughlin_image-guided.html), dated 03/28/2001, 2 pgs.
	<i>Spine Fusion Surgery – Bone Growth Stimulators</i> , (article found at the Internet website www.orthofix.com/OFProd/ofsites/T112100c.htm), dated 03/28/2001, 4 pgs.
	DR. GLENN M. AMUNDSON, <i>Low Back Pain</i> , (article found at the Internet website www.spineuniverse.com/conditions/detail/lowback_amundson.html), dated 03/28/2001, 4 pgs.
	JOHN W. BRANTIGAN, M.D., <i>Lumbar I/F Cage® With VSP® Spinal System for PLIF</i> , (pamphlet), 1999, 16 pgs., DePuy/AcroMed, Inc., 3303 Carnegie Ave., Cleveland, OH 44115.
	<i>AcroMed Spinal Solutions for Thoracolumbar Trauma & Tumor</i> , (pamphlet), 1996, 10 pgs., AcroMed, Inc., 3303 Carnegie Ave., Cleveland, OH 44115
	<i>Akbarnia PDR™ Instrumments –Posterolateral Decompression & Reconstruction – Ordering Information</i> , (pamphlet), 1996, 2 pgs., AcroMed, Inc., 3303 Carnegie Ave., Cleveland, OH 44115.
V	<i>Kaneda SR (Smooth Rod) – Anterior Spinal System, Titanium – Ordering Information for implants and instruments</i> , (pamphlet), 1996, 6 pgs., AcroMed, Inc., 3303 Carnegie Ave., Cleveland, OH 44115.
	<i>Univisriy™ Plate – Titanium Anterior System – Ordering Information for implants and instruments</i> , (pamphlet), 1996, 6 pgs., AcroMed, Inc., 3303 Carnegie Ave., Cleveland, OH 44115.
RL	<i>Surgical technique for anterior thoracolumbar corpectomy, graft placement and stabilization using the Univisriy™ Plate – Titanium Anterior System™</i> , (pamphlet), 1996, 8 pgs., AcroMed, Inc., 3303 Carnegie Ave., Cleveland, OH 44115.

RL	Surgical technique for anterior thoracolumbar corpectomy, graft placement and stabilization using the Kaneda SR™ Anterior Spinal System, (pamphlet), 1996, 12 pgs., AcroMed, Inc., 3303 Carnegie Ave., Cleveland, OH 44115.
I	U.S. copending Patent Application Publication No. US 2003/0065329, Published 4/3/03 entitled Vertebral Stabilization Assembly and Method; inventor: Paul A. Vaughan; Attorney Docket No. 85689.3.
I	U.S. copending Continuation-in-Part patent application filed 4/2/04 (Ser. No. - not yet assigned), entitled Vertebral Stabilization Assembly and Method, inventor: Paul A. Vaughan, Attorney Docket No. 85689.17
I	U.S. provisional patent application filed October 3, 2001; (Ser. No. 60/327,118) entitled Vertebral Stabilization Assembly and Method, Attorney Docket No. 85689.4.
U	U.S. provisional patent application filed November 2, 2001 (Ser. No. 60/350,259) entitled Vertebral Stabilization Assembly and Method Having a Modified Pedicle Screw; Attorney Docket No. 85689.6.
U	U.S. provisional patent application filed November 20, 2001 (Ser. No. 60/331,857) entitled Vertebral Stabilization Assembly and Method for Anterior Placement; Attorney Docket No. 85689.7.
RL	U.S. provisional patent application filed January 31, 2002 (Ser. No. 60/353,691) entitled Vertebral Stabilization Assembly and Method Having Dual Pedicle Screws; Attorney Docket No. 85689.8.
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